

Docket No.
CEDAR-44649

Declaration For Patent Application

English Language Declaration

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name,

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled

Modulating Activation of Lymphocytes and Screening Potential Immunomodulating Agents by Targeting Pituitary Tumor Transforming Gene (PPTG) Expression And/Or Function

the specification of which

(check one)

is attached hereto.

was filed on October 13, 2000 as United States Application No. or PCT International Application Number 09/687,911
and was amended on _____
(if applicable)

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose to the United States Patent and Trademark Office all information known to me to be material to patentability as defined in Title 37, Code of Federal Regulations, Section 1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, Section 119(a)-(d) or Section 365(b) of any foreign application(s) for patent or inventor's certificate, or Section 365(a) of any PCT International application which designated at least one country other than the United States, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate or PCT International application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application(s)

Priority Not Claimed

| | | | |
|----------------|-----------|------------------------|--------------------------|
| PCT/US97/21463 | PCT | 21 NOV 1997 | <input type="checkbox"/> |
| (Number) | (Country) | (Day/Month/Year Filed) | <input type="checkbox"/> |
| (Number) | (Country) | (Day/Month/Year Filed) | <input type="checkbox"/> |
| (Number) | (Country) | (Day/Month/Year Filed) | <input type="checkbox"/> |

I hereby claim the benefit under 35 U.S.C. Section 119(e) of any United States provisional application(s) listed below:

60/031,338 **11/21/96**
(Application Serial No.) (Filing Date)

(Application Serial No.) (Filing Date)

(Application Serial No.) (Filing Date)

I hereby claim the benefit under 35 U. S. C. Section 120 of any United States application(s), or Section 365(c) of any PCT International application designating the United States, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International application in the manner provided by the first paragraph of 35 U.S.C. Section 112, I acknowledge the duty to disclose to the United States Patent and Trademark Office all information known to me to be material to patentability as defined in Title 37, CFR Section 1.56 which became available between the filing date of the prior application and the national or PCT International filing date of this application:

08/894,251 **07/23/99**
(Application Serial No.) (Filing Date)

Pending
(Status)
(patented, pending, abandoned)

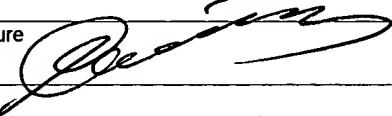
| | |
|--------------------------|---------------|
| 09/569,956 | 05/12/2000 |
| (Application Serial No.) | (Filing Date) |

Pending
(Status)
(patented, pending, abandoned)

(Application Serial No.) 10/123,456 (Filing Date) 12/30/2023

(Status)
(patented, pending, abandoned)

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

| | |
|---|--|
| Full name of sole or first inventor Rostyslav Stoika | Date |
| Sole or first inventor's signature  | <i>March 16, 2001</i> |
| Residence 103 #35 Vodomir Velikoho, 79053 Lviv, Ukraine | |
| Citizenship Ukraine | |
| Post Office Address Same as above | Ukraine) Kiev) City of Lviv) Embassy of the United States of America) |
| | <i>AMY M. MASON</i> |

| | | |
|---|--------------------|--|
| Full name of second inventor, if any Gregory A. Horwitz | 16 MAR 2001 | AMY M. MASON Vice-Counsel of the United States of America |
| Second inventor's signature | | Date |
| Residence 22915 Wrencrest Drive, Calabasas, CA 91302 | | |
| Citizenship United States | | |
| Post Office Address Same as above | | |
| | | |

| | |
|---|------|
| Full name of third inventor, if any Xun Zhang | |
| Third inventor's signature | Date |
| Residence 105 Summer Street, #204, Malden, MA 02148 | |
| Citizenship People's Republic of China | |
| Post Office Address Same as above | |
| | |

| | |
|--|------|
| Full name of fourth inventor, if any Shlomo Melmed | |
| Fourth inventor's signature | Date |
| Residence 9437 Cresta Drive, Los Angeles, CA 90035 | |
| Citizenship United States | |
| Post Office Address Same as above | |
| | |

Docket No.
CEDAR-44649

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the specification of which

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Prior Foreign Application(s)

Priority Not Claimed

| PCT/US97/21463 (Number) | PCT (Country) | 21 NOV 1997 (Day/Month/Year Filed) | <input type="checkbox"/> |
|----------------------------|------------------|---------------------------------------|--------------------------|
| _____ | _____ | _____ | <input type="checkbox"/> |
| _____ | _____ | _____ | <input type="checkbox"/> |
| _____ | _____ | _____ | <input type="checkbox"/> |

I hereby claim the benefit under 35 U.S.C. Section 119(e) of any United States provisional application(s) listed below:

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|--------------------------|---------------|
| 60/031,338 | 11/21/96 |
| (Application Serial No.) | (Filing Date) |

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| (Application Serial No.) | (Filing Date) |
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| (Application Serial No.) | (Filing Date) |
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|--------------------------|---------------|--|
| 08/894,251 | 07/23/99 | Pending |
| (Application Serial No.) | (Filing Date) | (Status) (patented, pending, abandoned) |
| 09/569,956 | 05/12/2000 | Pending |
| (Application Serial No.) | (Filing Date) | (Status) (patented, pending, abandoned) |
| (Application Serial No.) | (Filing Date) | (Status) (patented, pending, abandoned) |

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

| | |
|---|------|
| Full name of sole or first inventor Rostyslav Stoika | Date |
| Sole or first inventor's signature | |
| Residence 103 #35 Vodomir Velikoho, 79053 Lviv, Ukraine | |
| Citizenship Ukraine | |
| Post Office Address Same as above | |
| | |

| | |
|---|----------------|
| Full name of second inventor, if any Gregory A. Horwitz | Date |
| Second inventor's signature <i>Gregory A. Horwitz</i> | <i>3/13/01</i> |
| Residence 22915 Wrencrest Drive, Calabasas, CA 91302 | |
| Citizenship United States | |
| Post Office Address Same as above | |
| | |

| | |
|---|------|
| Full name of third inventor, if any Xun Zhang | Date |
| Third inventor's signature | |
| Residence 105 Summer Street, #204, Malden, MA 02148 | |
| Citizenship People's Republic of China | |
| Post Office Address Same as above | |
| | |

| | |
|--|----------------|
| Full name of fourth inventor, if any Shlomo Melmed | Date |
| Fourth inventor's signature <i>Shlomo Melmed</i> | <i>3/15/01</i> |
| Residence 9437 Cresta Drive, Los Angeles, CA 90035 | |
| Citizenship United States | |
| Post Office Address Same as above | |
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| _____ | _____ | _____ | <input type="checkbox"/> |
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| 60/031,338 | 11/21/96 |
| (Application Serial No.) | (Filing Date) |

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| Full name of sole or first inventor Rostyslav Stoika | |
| Sole or first inventor's signature | Date |
| Residence 103 #35 Vodomir Velikoho, 79053 Lviv, Ukraine | |
| Citizenship Ukraine | |
| Post Office Address Same as above | |
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|---|------|
| Full name of second inventor, if any Gregory A. Horwitz | |
| Second inventor's signature | Date |
| Residence 22915 Wrencrest Drive, Calabasas, CA 91302 | |
| Citizenship United States | |
| Post Office Address Same as above | |
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| | |
|---|-----------------------------|
| Full name of third inventor, if any Xun Zhang | |
| Third inventor's signature | Date <i>3 April 2001</i> |
| Residence 105 Summer Street, #204, Malden, MA 02148 | |
| Citizenship People's Republic of China | |
| Post Office Address Same as above | |
| | |

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| Full name of fourth inventor, if any Shlomo Melmed | |
| Fourth inventor's signature | Date |
| Residence 9437 Cresta Drive, Los Angeles, CA 90035 | |
| Citizenship United States | |
| Post Office Address Same as above | |
| | |

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Rostyslav Stoika, Gregory A. Horwitz, Xun Zhang and Shlomo Melmed
 Serial No.: 09/687/911
 Filed on: October 13, 2000



CERTIFICATE UNDER 37 C.F.R. 3.73(b) ESTABLISHING RIGHT OF ASSIGNEE TO PROSECUTE

BOX MISSING PARTS
 Assistant Commissioner for Patents
 Washington, D. C. 20231

Dear Sir or Madam:

I HEREBY CERTIFY THAT THIS CORRESPONDENCE IS BEING DEPOSITED WITH THE UNITED STATES POSTAL SERVICE AS FIRST CLASS MAIL IN AN ENVELOPE ADDRESSED TO BOX MISSING PARTS, THE ASSISTANT COMMISSIONER FOR PATENTS WASHINGTON, D. C. 20231, ON APRIL 5, 2001

BY Peter E. Braverman
April 5, 2001

Date of Signature

CEDARS-SINAI MEDICAL CENTER

certifies that it is the assignee of the entire right, title and interest in the patent application identified above by virtue of chain of title from the inventor, of the patent application identified above, to the current assignee as shown below:

1. From: Rostyslav Stoika, Gregory A. Horwitz, Xun Zhang and Shlomo Melmed
 To: CEDARS-SINAI MEDICAL CENTER

The document is being filed herewith with the Patent and Trademark Office. A copy thereof is attached.

The undersigned (whose title is supplied below) is empowered to sign this certificate on behalf of the assignee.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further, that these statements are made with the knowledge that willful false statements, and the like so made, are punishable by fine or imprisonment, or both, under Section 1001, Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Date: 3/16/01

Name: Peter E. Braverman, Esq.
 Title: Senior Vice President of Legal Affairs and Deputy Counsel

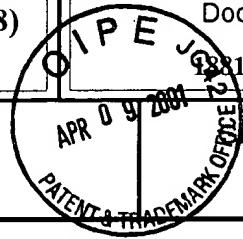
Signature: Peter E. Braverman

CERTIFICATE OF MAILING BY FIRST CLASS MAIL (37 CFR 1.8)

Applicant(s): Stoika et al.

Docket No.

12810-80290

Serial No.
09/687,911Filing Date
October 13, 2000Examiner
UnknownGroup Art Unit
--

Invention: **MODULATING ACTIVATION OF LYMPHOCYTES AND SCREENING POTENTIAL
IMMUNOMODULATING AGENTS BY TARGETING PITUITARY TUMOR TRANSFORMING
GENE (PTTG) EXPRESSION AND/OR FUNCTION**

I hereby certify that this **Verified Statement (Declaration) Claiming Small Entity Status**
(Identify type of correspondence)

is being deposited with the United States Postal Service as first class mail in an envelope addressed to: The
Assistant Commissioner for Patents, Washington, D.C. 20231 on **APRIL 5, 2001**
(Date)

ANN WEISS

(Typed or Printed Name of Person Mailing Correspondence)

(Signature of Person Mailing Correspondence)

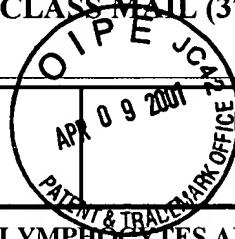
Note: Each paper must have its own certificate of mailing.

CERTIFICATE OF MAILING BY FIRST CLASS MAIL (37 CFR 1.8)

Applicant(s): Stoika et al.

Docket No.

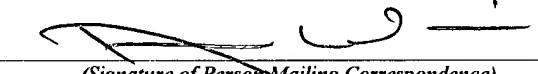
18810-80290

Serial No.
09/687,911Filing Date
October 13, 2000Examiner
UnknownGroup Art Unit
--

Invention: **MODULATING ACTIVATION OF LYMPHOCYTES AND SCREENING POTENTIAL
IMMUNOMODULATING AGENTS BY TARGETING PITUITARY TUMOR TRANSFORMING
GENE (PTTG) EXPRESSION AND/OR FUNCTION**

I hereby certify that this Assignment*(Identify type of correspondence)*

is being deposited with the United States Postal Service as first class mail in an envelope addressed to: The
Assistant Commissioner for Patents, Washington, D.C. 20231 on APRIL 5, 2001

*(Date)*ANN WEISS*(Typed or Printed Name of Person Mailing Correspondence)*
(Signature of Person Mailing Correspondence)

Note: Each paper must have its own certificate of mailing.

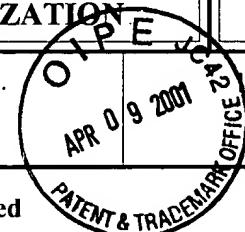
**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY
STATUS (37 CFR 1.9(f) AND 1.27 (d)) - NONPROFIT ORGANIZATION**

Docket No.
CEDAR-44649

Serial No.
090/687,911

Filing Date
10/13/2000

Patent No.
--



Issue Date
--

Applicant/ **Rostyslav Stoika, Gregory A. Horwitz, Xun Zhang and Shlomo Melmed**
Patentee:

Invention:

**Modulating Activation of Lymphocytes and Screening Potential Immunomodulating Agents By
Targeting Pituitary Tumor Transforming Gene (PTTG) Expression and/or Function**

I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

NAME OF ORGANIZATION: **CEDARS-SINAI MEDICAL CENTER**

ADDRESS OF ORGANIZATION: **8700 Beverly Boulevard**

Los Angeles, CA 90048-1865

TYPE OF NONPROFIT ORGANIZATION:

- University or other Institute of Higher Education
- Tax Exempt under Internal Revenue Service Code (26 U.S.C. 501(a) and 501(c)(3))
- Nonprofit Scientific or Educational under Statute of State of The United States of America
Name of State: _____ Citation of Statute: _____
- Would Qualify as Tax Exempt under Internal Revenue Service Code (26 U.S.C. 501(a) and 501(c)(3)) if Located in The United States of America
Name of State: _____ Citation of Statute: _____
- Would Qualify as Nonprofit Scientific or Educational under Statute of State of The United States of America if Located in The United States of America
Name of State: _____ Citation of Statute: _____

I hereby declare that the above-identified nonprofit organization qualifies as a nonprofit organization as defined in 37 C.F.R. 1.9(e) for purposes of paying reduced fees to the United States Patent and Trademark Office regarding the invention described in:

- the specification to be filed herewith.
- the application identified above.
- the patent identified above.

I hereby declare that rights under contract or law have been conveyed to and remain with the nonprofit organization with regard to the above identified invention.

If the rights held by the above-identified nonprofit organization are not exclusive, each individual, concern or organization having rights to the invention is listed on the next page and no rights to the invention are held by any person, other than the inventor, who could not qualify as an independent inventor under 37 CFR 1.9(c) or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern or organization to which I have assigned, granted, conveyed, or licensed or am under an obligation under contract or law to assign, grant, convey, or license any rights in the invention is listed below:

no such person, concern or organization exists.
 each such person, concern or organization is listed below.

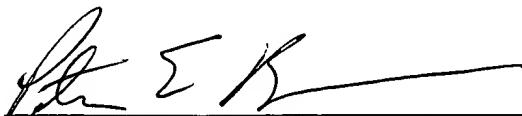
| | | | |
|-----------|-------------------------------------|---|---|
| FULL NAME | <hr/> | | |
| ADDRESS | <hr/> | | |
| | <input type="checkbox"/> Individual | <input type="checkbox"/> Small Business Concern | <input type="checkbox"/> Nonprofit Organization |
| FULL NAME | <hr/> | | |
| ADDRESS | <hr/> | | |
| | <input type="checkbox"/> Individual | <input type="checkbox"/> Small Business Concern | <input type="checkbox"/> Nonprofit Organization |
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| ADDRESS | <hr/> | | |
| | <input type="checkbox"/> Individual | <input type="checkbox"/> Small Business Concern | <input type="checkbox"/> Nonprofit Organization |
| FULL NAME | <hr/> | | |
| ADDRESS | <hr/> | | |
| | <input type="checkbox"/> Individual | <input type="checkbox"/> Small Business Concern | <input type="checkbox"/> Nonprofit Organization |

Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

| | |
|----------------------------|--|
| NAME OF PERSON SIGNING: | <u>Peter E. Braverman, Esq.</u> |
| TITLE IN ORGANIZATION: | <u>Senior Vice President of Legal Affairs and Deputy Counsel</u> |
| ADDRESS OF PERSON SIGNING: | <u>Cedars-Sinai Medical Center</u> <u>8700 Beverly Boulevard</u> <u>Los Angeles, CA 90048-1865</u> |

SIGNATURE:  DATE: 3/16/07